



Docket No.: 5489P014

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Chang-Hee Lee, et al.

Application No.: 10/081,657

Filed: February 21, 2002

For: METHOD AND APPARATUS FOR
ENHANCING THE RESOLVING
POWER OF A TUNABLE OPTICAL
FILTER

Examiner: Connolly, Patrick J.

Art Unit: 2877

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

EXPRESS MAIL STATEMENT

"Express Mail" mailing label number: EV336587229US

Date of Deposit: September 17, 2004

I hereby state that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Christopher P. Marshall

(Type or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

(Date Signed)

9/17/2004

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

XXX 37 C.F.R. §1.97(b).

_____ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

_____ A statement pursuant to 37 C.F.R. §1.97(e) or

_____ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

_____ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

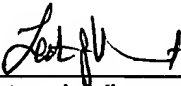
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: September 17, 2004



Lester J. Vincent
Reg. No. 31,460

12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025
(408) 720-8300

Substitute for Form 1449/PTO

INFORMATION DISCLOSURE

STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/081,657
Filing Date	February 21, 2002
First Named Inventor:	Chang-Hee Lee
Art Unit	2877
Examiner Name	Patrick J. Connolly
Attorney Docket Number	5489P014

Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)				
		us-	5,166,818	11/24/1992	Chase et al.	
		us-	5,287,214	02/15/1994	Robertson et al.	
		us-	5,305,402	04/19/1994	Hill et al.	
		us-	5,652,809	07/29/1997	Aronson	
		us-	5,781,268	07/14/1998	Liu et al.	
		us-	5,796,479	08/18/1998	Derickson et al.	
		us-	6,021,237	02/01/2000	Kim et al.	
		us-	6,253,002 B1	06/26/2001	Kim et al.	
		us-	6,266,462 B1	07/24/2001	Kim et al.	
		us-	6,396,574 B1	05/28/2002	Lee et al.	
		us-	6,671,045 B1	12/30/2003	Lee et al.	
		us-	US 2001/0004290 A1	06/21/01	Lee et al.	
		us-				
		us-				
		us-				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

Examiner
Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/081,657
				Filing Date	February 21, 2002
				First Named Inventor:	Chang-Hee Lee
				Art Unit	2877
				Examiner Name	Patrick J. Connolly
Sheet	2	of	2	Attorney Docket Number	5489P014

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		Kwang-Uk Chu, Kun-Youl Park, Chang-Hee Lee, Sang-Yung Shin, Y. J. Oh, "A simple and low cost channel analyzer for a dense wavelength-division multiplexing systems," 5th Optoelectronics and Communications Conference (OECC2000), Chiba, Japan, Serial 14A4-3, pp.474-475, (July 2000)	
		Paul Horowitz and Winfield Hill, "The Art of Electronics: Second Edition," Cambridge University Press, pp. vii-xvii and 1031-1034 (1990).	
		Howard V. Malmstadt, et al., "Electronic Measurements for Scientists," W.A. Benjamin, Inc., pp. v-xii and 824-831 (1974).	
		Stamatios V. Kartalopoulos, "Introduction to DWDM Technology," SPIE Optical Engineering Press, pp. vii-xiv, 4-7, 75-76, and 87-88 (2000)	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.